

## INSTRUCTIONS FOR COMPLETING THE UNIFORM REPORT OF DBE COMMITMENTS/AWARDS AND PAYMENTS

1. Indicate the DOT Operating Administration (OA) that provides your Federal financial assistance. If assistance comes from more than one OA, use separate reporting forms for each OA. If you are an FTA recipient, indicate your Vendor Number in the space provided.

2. If you are an FAA recipient, indicate the relevant AIP Numbers covered by this report. If there are more than six, attach a separate sheet.

3. Specify the Federal fiscal year (i.e. October 1-September 30) in which the covered reporting period falls.

4. State the date of submission of this report.

5. Check the appropriate box that indicates the reporting period that the data provided in this report covers. If this report is due June 1, data should cover October 1 - March 31. If this report is due December 1, data should cover October 1 - September 30. The second report will be an accumulation of the entire Fiscal Year. FAA reports are due December 1 for the period October 1 - September 30.

6. Name and address of the recipient.

7. State your annual DBE goal(s) established for the Federal fiscal year of this report to be submitted to and approved by the relevant OA. Your Overall Goal is to be reported as well as the breakdown for specific Race Conscious and Race Neutral projections (both of which include gender-conscious/neutral goals/projections). The Race Conscious projection portion should be based on programs that focus on and provide benefits only for DBEs. The use of contract goals is a primary example of a race conscious measure. The Race Neutral projection portion should include programs that, while benefiting DBEs, are not solely focused on DBE firms. For example, unbundling large contracts to make them more accessible to small businesses.

7.5. The percentage of total dollars to DBEs is derived by dividing the total dollars to DBEs in 9.5(C) by the total dollars in 8(A). **All dollar amounts are to reflect only the Federal share of such contracts, and should be rounded to the nearest dollar.**

8-9. The amounts in items 8(A)-9(I) should include all types of prime contracts awarded and all types of subcontracts committed/awarded, including: professional or consultant services, construction, purchase of materials or supplies, lease or purchase of equipment and any other types of services. The definition of commitments and awards vary slightly between OAs. For example, when a prime contract is awarded and subcontractors are listed in the prime contract, but are not yet awarded, FTA considers the subcontracts awarded while FHWA considers the subcontracts committed. In either case, these subcontracts should be reported in 9(A)-9(I). In subsequent reports, FHWA recipients have traditionally reported the actual awards instead of the commitments initially reported once the awards were made. For example, if a prime contract is awarded in March, but the subcontracts are not specifically awarded until July, then the recipient would report the commitments in the June 1 report. However, the second report, due Dec. 1, would reflect the subcontracts awarded instead of the subcontracts committed. The numbers would only be different if there were changes after the prime contract was awarded. Recipients may, but are not required to report subcontracts awarded. However, recipients must be careful not to double count DBE subcontract commitments and awards during the reporting periods.

8(A). Provide the total Federal dollar amount for all prime contracts assisted with DOT funds that were awarded during this reporting period.

8(B). Provide the total number of all prime contracts assisted with DOT funds that were awarded during this reporting period.

8(C). From the total dollar amount awarded in item 8(A), provide the Federal dollar amount awarded to certified DBEs during this reporting period.

8(D). From the total number of prime contracts awarded in item 8(B), specify the number awarded to certified DBEs during this reporting period.

8(E) –

8(F). Any time a DBE wins a prime contract through customary competitive procurement procedures, the DBE participation is race-neutral. Therefore, these blocks have been blacked out.

8(G). From the total Federal dollar amount awarded in item 8(C), provide the Federal dollar amount awarded to certified DBEs through the use of Race Neutral methods. See the definition of Race Neutral Goal in item 7 and the explanation in item 8 of project types to include. If DBE participation exceeded what was needed to meet the goal, the excess should be listed in the brackets in 8(G). The excess amount in the brackets should be added to the Race Neutral dollar amount in 8(G) to reach the total in 8(C).

8(H). From the total number of prime contracts awarded in 8(D), specify the number awarded to DBEs through Race Neutral methods.

8(I). Of all prime contracts awarded this reporting period, calculate the percentage going to DBEs. Divide the dollar amount in item 8(C) by the dollar amount in item 8(A) to derive this percentage. Round percentage to the nearest tenth.

9(A)-9(I). Items 9(A)-9(I) are derived in the same way as items 8(A)-8(I), except that these calculations should be based on subcontracts rather than prime contracts. In 9(H), to avoid double counting, do not count race conscious contracts that also have race neutral participation obtained by exceeding the contract goal.

9.5(C). If a DBE prime contractor subcontracts to a DBE subcontractor and you have already counted the DBE prime in 8(C), do not double count by including it in 9(C). For example, if the DBE prime contractor will perform 50% of the work, that amount should be reported in 8(C), and if a DBE subcontractor is to perform the remaining 50% of the work, that amount should be reported in 9(C).

10(A)-11(H). For all DBEs awarded prime contracts and committed/awarded subcontracts as indicated in 8(C)-(D) and 9(C)-(D), break the data down further by total dollar amount as well as the number of all contracts committed/awarded to each ethnic group as well as to non-minority women. The “Other” category includes those DBEs who are not members of the presumptively disadvantaged groups already listed, but who are determined eligible for the DBE program on an individual basis (e.g. a Caucasian male with a disability). The TOTALS value in 10(H) should equal the sum of 10(A) – 10(G), and similarly, the TOTALS value in 11(H) should equal the sum of 11(A) – 11(G).

12(A)-14(E). A completed contract refers to the completion of the prime or full contract (i.e., final payment), in the reporting period. This would include all changes, extra work orders, etc. For example, if a subcontract was completed in October 2004, but the full contract is not completed until May 2005, the subcontract payments would not be reported until the final contract was completed in May 2005.

Intermittent progress payments made during the reporting period on a contract that is not completed would not be reported.

12(A). Provide the total number of prime contracts completed during this reporting period that had Race Conscious goals. Race Conscious contracts are those with contract goals or another race conscious measure.

12(B). Provide the total Federal dollar value of prime contracts completed this reporting period that had race conscious goals.

12(C). Provide the total Federal dollar amount of DBE participation on all prime contracts completed this reporting period that was necessary to meet the contract goals on them.

12(D). Provide the actual total DBE participation in Federal dollars on the prime contracts with race conscious subcontracting goals completed this reporting period. 12(D) should not exceed 12(C). If DBE participation exceeds what is needed to meet the goal, it should be reflected in 13(D) in the brackets.

12(E). Of all the prime contracts completed this reporting period, calculate the percentage of DBE participation. Divide the actual total dollar amount in 12(D) by the total dollar value provided in 12(B) to derive this percentage. Round to the nearest tenth.

13(A)-13(E). Items 13(A)-13(E) are derived in the same manner as items 12(A)-12(E), except these figures should be based on Race Neutral prime contracts and subcontracts (i.e. those with no race conscious measures). If DBE participation exceeded what was needed to meet the goal, the excess should be listed in the brackets in 13(D). The excess amount in the brackets should be added to the Race Neutral dollar amount in 13(D) to reach the percentage in 13(E).

14(A)-14(D). Calculate the totals for each column by adding the race conscious and neutral figures provided in each row above.

14(E). Divide the actual total dollar amount in 14(D) by the total dollar value provided in 14(B) to derive the percentage.

15 – 17. Self explanatory.

**\*\*Submit your completed report to your Regional or Division Office.**